

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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KATHERINE WANDEL, Individually
and on Behalf of All Others Similarly
Situated,

Plaintiff,

v.

JING GAO, DEREK BOYANG SHEN, YAN
CUI, WENBIAO LI, ERHAI LIU, XIAN
CHEN, WILLIAM WANG, GANG JI, EDWIN
FUNG, JIANPING YE, JASON ZHENG
ZHANG, CITIGROUP GLOBAL MARKETS
INC., CREDIT SUISSE SECURITIES (USA)
LLC, J.P. MORGAN SECURITIES LLC,
TIGER BROKERS (NZ) LIMITED, US
TIGER SECURITIES, INC., COGENCY
GLOBAL INC., RICHARD ARTHUR and
PHOENIX TREE HOLDINGS LIMITED,

Defendants.
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Civil Action No. 1:20-cv-03259-PAC

**RULE 7.1 CORPORATE DISCLOSURE STATEMENTS OF DEFENDANTS
CITIGROUP GLOBAL MARKETS INC., CREDIT SUISSE SECURITIES (USA) LLC,
J.P. MORGAN SECURITIES LLC, TIGER BROKERS (NZ) LIMITED, AND US TIGER
SECURITIES, INC.**

Pursuant to Federal Rule of Civil Procedure 7.1, the undersigned counsel of record for
defendants Citigroup Global Markets Inc., Credit Suisse Securities (USA) LLC, J.P. Morgan
Securities LLC, Tiger Brokers (NZ) Limited, and US Tiger Securities, Inc. states as follows:

Citigroup Global Markets Inc. is a wholly owned subsidiary of Citigroup Financial
Products, Inc., which, in turn, is a wholly owned subsidiary of Citigroup Global Markets
Holdings Inc., which, in turn, is a wholly owned subsidiary of Citigroup Inc., a publicly held

corporation. Citigroup Inc. has no parent corporation and, to the best of Citigroup Inc.'s knowledge, no publicly held corporation owns 10% or more of its stock.

Credit Suisse Securities (USA) LLC is a wholly owned subsidiary of Credit Suisse (USA), Inc. Credit Suisse (USA), Inc. is a wholly owned subsidiary of Credit Suisse Holdings (USA), Inc., which is owned by Credit Suisse AG (100% voting & approximately 25.5% equity) and Credit Suisse AG, Cayman Islands Branch (approximately 74.5% equity). Credit Suisse AG is a wholly owned subsidiary of the ultimate corporate parent, Credit Suisse Group AG. Credit Suisse AG has publicly registered debt securities and warrants in the United States and elsewhere. The shares of Credit Suisse Group AG are publicly traded on the Swiss Stock Exchange and are also listed on the New York Stock Exchange in the form of American Depositary Shares. No publicly held company owns 10% or more of Credit Suisse Group AG.

J.P. Morgan Securities LLC is a wholly owned subsidiary of J.P. Morgan Broker-Dealer Holdings Inc., which, in turn, is a wholly owned subsidiary of JPMorgan Chase Holdings LLC, which, in turn, is a wholly owned subsidiary of JPMorgan Chase & Co. JPMorgan Chase & Co. has no parent corporation and, to the best of JPMorgan Chase & Co.'s knowledge, no publicly held corporation owns 10% or more of its stock.

Tiger Brokers (NZ) Limited is a wholly owned subsidiary of Tiger Fintech (Singapore) Pte Ltd, which, in turn, is a wholly owned subsidiary of Xiangshang Upfintech Holding Limited (BVI), which, in turn, is a wholly owned subsidiary of UP Fintech Global Holdings Limited (BVI), which, in turn, is a wholly owned subsidiary of UP Fintech Holding Limited (Cayman Islands). UP Fintech Holding Limited (Cayman Islands) has no parent corporation and, to the best of UP Fintech Holding Limited's knowledge, one publicly held corporation, Xiaomi Corporation, owns 10% or more of its stock.

US Tiger Securities, Inc. is a wholly owned subsidiary of Tiger Fintech Holdings, Inc. (US), which, in turn, is a wholly owned subsidiary of UP Fintech Global Holdings Limited (BVI), which, in turn, is a wholly owned subsidiary of UP Fintech Holding Limited (Cayman Islands). UP Fintech Holding Limited (Cayman Islands) has no parent corporation and, to the best of UP Fintech Holding Limited's knowledge, one publicly held corporation, Xiaomi Corporation, owns 10% or more of its stock.

DATED: New York, New York
December 10, 2020

SHEARMAN & STERLING LLP

/s/ Daniel C. Lewis

Adam S. Hakki
Daniel C. Lewis
599 Lexington Avenue
New York, NY 10022-6069
Telephone: (212) 848.4000
Facsimile: (212) 848.7179
ahakki@shearman.com
daniel.lewis@shearman.com

*Attorney for Defendants Citigroup Global
Markets Inc., Credit Suisse Securities (USA)
LLC, J.P. Morgan Securities LLC, Tiger
Brokers (NZ) Limited, and US Tiger
Securities, Inc.*